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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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In re application of: William J. Goetzinger et al : Date: May 8, 2002  
Group Art Unit: 2661 : IBM Corporation  
Examiner: Unknown : Intellectual Property Law  
Serial No.: 10/004,217 : Dept. 917, Bldg. 006-1  
Filed: November 1, 2001 : 3605 Highway 52 North  
Title: QoS SCHEDULER AND METHOD FOR : Rochester, MN 55901  
IMPLEMENTING QUALITY OF SERVICE  
ANTICIPATING THE END OF A CHAIN  
OF FLOWS

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents

Washington, D.C. 20231

Sir:

Applicants request that the information listed on the attached Form PTO/SB/08A be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

Serial No. 10/004,217

Docket No. ROC920010206US1

To the best knowledge of the undersigned, this Information Disclosure Statement is being filed under 37 C.F.R. §1.97(b)(3) before the mailing of a first Office action on the merits in the present application. Accordingly no filing fee is required.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on

May 8, 2002

(Date of Deposit)

Nancy J. Larson  
Nancy J. Larson

Respectfully submitted,

WILLIAM J. GOETZINGER ET AL

By

Leslie J. Payne

Attorney Reg. No. 26,378

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PTO/SB/08A

Application Number.: 10/004,217  
 Filing Date: November 1, 2001  
 First Named Inventor: William Goetzinger  
 Art Unit: 2661  
 Examiner Name: Unassigned  
 Attorney Docket Number.: ROC920010206US1

**INFORMATION DISCLOSURE  
 STATEMENT BY APPLICANT**
Sheet 1 of 4
**U.S. PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Document Number<br>Number - Kind Code <sup>2</sup><br>(if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited<br>Document | Pages, Columns<br>or Lines Where<br>Relevant Passages<br>or Figs. Appear |
|--------------------|-----------------------|--|--------------------------------|---|--|
|                    | AA                    | US -5249184A   | 09/28/1993                     | Karen L. Woeste et al                                 |  |
|                    | AB                    | US -5490141A   | 02/06/1996                     | Fuyung Lai et al                                      |  |
|                    | AC                    | US -5548590A   | 08/20/1996                     | Robert H. Grant et al                                 |  |
|                    | AD                    | US -5629928A   | 05/13/1997                     | Jean Calvignac et al                                  |  |
|                    | AE                    | US -5742772A   | 04/21/1998                     | Cormac J. Sreenan                                     |  |
|                    | AF                    | US -5850399A   | 12/15/1998                     | Mahesh Ganmukhi et al                                 |  |
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|                    | AH                    | US -5926481A   | 07/20/1999                     | Chi-Lung Wang et al                                   |  |
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|                    | AK                    | US -6018527A   | 01/25/2000                     | Nanying Yin et al                                     |  |

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| Examiner Initials | Cite No. <sup>1</sup> | Foreign Patent Document<br>Country <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup><br>Code (if known) | Publication Date<br>MM-DD-YYYY | Name of<br>Patentee or<br>Applicant of<br>Cited Document | Pages, Columns<br>or Lines Where<br>Relevant<br>Passages or Figs.<br>Appear | T <sup>6</sup> |
|-------------------|-----------------------|---|--------------------------------|--|---|----------------|
|                   | AL                    | EP0859492A2   | 08/19/1998                     | Duffield et al   |   | X              |
|                   | AM                    | EP0957602A2   | 11/17/1999                     | Darrin Nagy  |   | X              |
|                   | AN                    | EP0989770A1   | 03/29/2000                     | Chugo et al  |   | X              |
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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

PTO/SB/08A

Application Number.: 10/004,217  
 Filing Date: November 1, 2001  
 First Named Inventor: William Goetzinger  
 Art Unit: 2661  
 Examiner Name: Unassigned  
 Attorney Docket Number.: ROC920010206US1

**INFORMATION DISCLOSURE  
 STATEMENT BY APPLICANT**
Sheet 2 of 4
**OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

| Examiner Initials | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and or country where published. | T <sup>2</sup> |
|-------------------|-----------------------|---|----------------|
|                   | AT                    | U.S. Patent Application Serial No. 10/102,166 filed March 20, 2002, "Method and Apparatus for Improving the Fairness of New   |                |
|                   |                       | Attaches to a Weighted Fair Queue in a Quality of Service (QoS) Scheduler"  |                |
|                   | AU                    | Abstract of Publication entitled "Design of packet-fair queuing schedulers using a RAM-based searching engine"  |                |
|                   |                       | by HJ Chao et al, IEEE Journal on Selected Areas in Communications, Vol. 17, No. 6, pp. 1105-1126, June 1999  |                |
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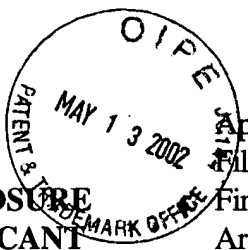
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|--------------------|-----------------------|--|--------------------------------|---|--|
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|                    | BB                    | US -6031822A   | 02/28/2000                     | Eugen Wallmeier                                       |  |
|                    | BC                    | US -6038217A   | 03/14/2000                     | J. Bryan Lyles  |  |
|                    | BD                    | US -6041059A   | 03/21/2000                     | Alexander Joffe et al                                 |  |
|                    | BE                    | US -6064650A   | 05/16/2000                     | Christopher Kappler et al                             |  |
|                    | BF                    | US -6064677A   | 05/16/2000                     | Christopher Kappler et al                             |  |
|                    | BG                    | US -6072772A   | 06/06/2000                     | Anna Charny et al                                     |  |
|                    | BH                    | US -6072800A   | 06/06/2000                     | Duan-Shin Lee   |  |
|                    | BI                    | US -6078953A   | 06/20/2000                     | Aseem Vaid et al                                      |  |
|                    | BI                    | US -6081507A   | 06/27/2000                     | Hung-Hsiang Chao et al                                |  |

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|-------------------|-----------------------|---|--------------------------------|---|--|----------------|
|                   | BK                    | WO99/35792A1  | 07/15/1999                     | Anna Charny et al                                     |  | X              |
|                   | BL                    | WO99/53647A2  | 10/21/1999                     | Nigel T. Poole et al                                  |  | X              |
|                   | BM                    | WO99/53648A2  | 10/21/1999                     | Cary B. Robins et al                                  |  | X              |
|                   | BN                    | WO01/20876A1  | 03/22/2001                     | Kent D. Benson et al                                  |  | X              |
|                   |                       |   |                                |   |  |                |
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|--------------------|-----------------------|--|--------------------------------|--|---|
|                    | CA                    | US -6094435A   | 07/25/2000                     | Don Hoffman et al                                  |   |
|                    | CB                    | US - 6104700A  | 08/15/2000                     | Stephen Haddock et al                              |   |
|                    | CC                    | US -6122673A   | 09/19/2000                     | Debashis Basak et al                               |   |
|                    | CD                    | US -6157649A   | 12/05/2000                     | Kenneth Peirce et al                               |   |
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|                    | CF                    | US - 6169740B1   | 01/02/2001                     | Todd D. Morris et al                               |   |
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|                    | CH                    | US - 6229813B1   | 05/08/2001                     | Steven W. Buchko et al                             |   |

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